

MONTH END ACTIVITY REPORT

Bureau of Securities October 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	118	330	448
Oversales	5	0	5
Renewal Filings	374	1,215	1589
New Notice Filings	228	47	275
Common Stock	1	0	1
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	4	0	4
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	1	0	1

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	18	0	18
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	7	0	7
Gain/Loss Broker-Dealers	11	0	11
Total Broker-Dealers Registered as of October 31, 2010	1418	29	1447
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1864	0	1864
Denied	0	0	0
Terminations	1077	0	1077
Gain/Loss Agents	787	0	787
Total BD Agents Registered as of October 31, 2010	78468	55	78523

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	9	9
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	2	4
Denied	0	0	0
Gain/Loss effective registrations	-2	7	5
Total IA's Registered as of October 31, 2010	72	1072	1144
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	60	60
Denied	0	0	0
Terminated	4	53	57
Gain/Loss effective registrations	-4	7	3
Total IAR's Registered as of October 31, 2010	122	3167	3289

Exemptions			
Exemption Type	Number		
8-1108.02(2)	23		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	1		
8-1110(8)	0		
8-1111(9)	15		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	1		
8-1111(17)	0		
Total Exemptions as of October 31, 2010	40		